



Environmental Management Consolidated Business Center (EMCBC)

Subject: Simplified Acquisition Procedures (SAP)

POLICY, PROCEDURE
And PLAN

APPROVED: (Signature on File)
EMCBC Director

1.0 PURPOSE

The purpose of this procedure is to establish a procedure for all purchases of supplies, equipment or services not exceeding the Simplified Acquisition Procedure (SAP) threshold of \$100,000 with a funding line, including purchases at or below the micro-purchase threshold of \$3,000.

2.0 SCOPE

The scope prescribes the requirements and responsibilities for the acquisition of supplies, equipment or services not exceeding the SAP, including purchases at or below the micro-purchase threshold of \$3,000. This policy, procedure and plan excludes acquisitions using the Government Purchase Card.

3.0 APPLICABILITY

All EMCBC personnel shall comply with this procedure.

4.0 REQUIREMENTS AND REFERENCES

4.1 Requirements:

4.1.1 Federal Acquisition Regulation (FAR) Part 4, Administrative Matters

4.1.2 FAR Part 9, Excluded Parties List System (EPLS)

4.1.3 Department of Energy (DOE) Acquisition Regulation (DEAR) Subpart 909.4

4.1.4 FAR Part 13, Simplified Acquisition Procedures

4.1.5 DEAR Subpart 913, Simplified Acquisition Procedures

4.1.6 FAR Part 19, Small Business Programs

4.1.7 DOE Acquisition Guide

4.2 References:

4.2.1 EMCBC Implementing Procedure (IP) 540-06, Rev 1, Procurement Request Packages (PR), Including Financial Assistance

4.2.2 EMCBC IP 540-08, Rev 1, Small Business Programs

4.2.3 EMCBC IP-540-16, Rev 1, Purchase Card Procedures

5.0 DEFINITIONS- NOT APPLICABLE

6.0 RESPONSIBILITIES

6.1 Procurement Request Initiator (PRI):

6.1.1 The PRI is responsible for initiating the DOE Form 4200.33, (Attachment A, IP-540-07-F1, "Procurement Request-Authorization") with the required documentation, and providing it to Contracting Policy and Administrative Support (PAS) Team Leader.

6.1.2 The PRI, or the appointed Contracting Officer's Representative (COR), is responsible for sending a copy of the packing slip/invoice to the Contract Specialist (CS)/Contracting Officer (CO) when the supplies, equipment, or service is received and accepted.

6.1.3 The PRI, or the appointed COR, is responsible for monitoring the contractor's cost, schedule and performance from inception of the contract to its completion and will notify the CS/CO of any problems as soon as possible.

6.1.4 When a contract requires renewal, the PRI, or the appointed COR, is responsible for notifying the CS/CO 30 days prior to the end date of the contract's period of performance and for initiating the DOE Form 4200.33, (Attachment A, IP-540-07-F1, "Procurement Request-Authorization") with the required documentation, for the follow-on contract and providing it to the CS/CO.

6.2 PAS Team Leader:

The PAS Team Leader is responsible for receiving the procurement request package (PR) from the PRI, and assigning it to a CS/CO for action.

6.3 CS/CO:

6.3.1 The CS/CO is responsible for reviewing the PR package for completeness and for coordinating with the PRI on missing or deficient documents in the package.

- 6.3.2 The CS/CO will provide assistance to the PRI, if requested, in development of the package and supporting documentation.
- 6.3.3 The CS/CO is responsible for using a white file folder for a new order.
- 6.3.4 The CS/CO is responsible for using a red file folder for the renewal of an order.
- 6.3.5 The CS/CO is responsible for executing the appropriate contract action in accordance with the PR package and for inputting the information into the Federal Procurement Data System-Next Generation (FPDS-NG).
- 6.3.6 The CS/CO is responsible for verifying that the prospective contractor is registered in the Central Contractor Registration (CCR), unless the acquisition is exempt, before awarding a contract or agreement. The CS/CO is encouraged to check the CCR early in the acquisition process.
- 6.3.7 The CS/CO is responsible for documenting the contract file to verify that the CCR was checked and that the prospective contractor is registered.
- 6.3.8 The CS/CO is responsible for soliciting offers from, awarding contracts to, and consent to subcontracts with responsible contractors only.
- 6.3.9 The CS/CO is responsible for checking the Excluded Parties List System (EPLS) before awarding a contract or agreement to a prospective contractor. Debarment and suspension is a discretionary action that is an appropriate means to effectuate this responsibility.
- 6.3.10 The CS/CO is responsible for documenting the contract file that the prospective contractor is **not** on the Excluded Parties List (EPL).
- 6.3.11 The CS/CO is responsible for including a copy of the packing slip/invoice in the official contract file.

6.4 Financial Management Officer (FMO):

The FMO is responsible for the certification of funds availability on the procurement request-authorization and for recording the obligation in the Standard Accounting and Reporting System (STARS).

6.5 Oakridge Financial Services Center (ORFSC):

ORFSC is responsible for processing the contractor's invoices.

7.0 GENERAL INFORMATION – NOT APPLICABLE

8.0 PROCEDURE

8.1 Processing the Simplified Acquisition (SA)

8.1.1 PRI:

- 8.1.1.1 The PRI submits the DOE Form 4200.33 (Attachment A, IP-540-07-F1, "Procurement Request-Authorization") to the CS/CO for the purchase of supplies, equipment or service along with the required backup documentation.
- 8.1.1.2 The PRI, or the appointed COR, after receiving and accepting the supplies, equipment or service will send the original packing slip/invoice to the CS/CO for filing in the official contract file.
- 8.1.1.3 The PRI, or the appointed COR, will notify the CS/CO as soon as possible of any problems with cost, schedule, and performance of the contract.
- 8.1.1.4 The PRI will notify the CS/CO 30 days prior to the end date of the contract when a renewal is required and will initiate the DOE Form 4200.33, (Attachment A, IP-540-07-F1, "Procurement Request-Authorization") with the required documentation, for the follow-on contract and providing it to the CS/CO.

8.1.2 PAS Team Leader:

Upon receipt of the PR, the PAS Team Leader will assign it to a CS/CO for action.

8.1.3 CS/CO:

- 8.1.3.1 The CS/CO will assign an order number from the established CBC log and reserve the number in the log.
- 8.1.3.2 The CS/CO will send the requisition (Attachment A, IP-540-07-F1, "Procurement-Request Authorization") to finance for the reservation of funds. After receiving the requisition back from finance with the accounting and appropriation data reserved, the CS/CO will ensure that the appropriate fund cite is listed on the request and that the funds are certified by the FMO.
- 8.1.3.3 The CS/CO is responsible for performing market research in accordance with FAR Part 13 and the small business set-aside procedures outlined in IP-540-08, Rev 1, "Small Business Program".

- 8.1.3.4 The CS/CO will verify that the prospective contractor is registered in the CCR, unless the acquisition is exempt, before awarding a contract or agreement and will document the contract file that the CCR was checked and that the prospective contractor is registered.
- 8.1.3.5 The CS/CO will check the EPLS before awarding a contract or agreement to a prospective contractor and will document the contract file that the prospective contractor is **not** on the EPL.
- 8.1.3.6 The CS/CO will select a vendor. After selecting the vendor, the CS/CO will send the vendor a Standard Form (SF) 3881, (Attachment B, IP-540-07-F2, "ACH Vendor/Miscellaneous Payment Enrollment Form") for electronic funds transfer, a copy of which will be placed in the official contract file.
- 8.1.3.7 The CS will prepare the order, Optional Form (OF) 347, (Attachment C, IP-540-07-F3, "Order for Supplies or Services"), and the contract file for review by the CO.
- 8.1.3.8 The CS will use a white file folder for a new order.
- 8.1.3.9 The CS will use a red file folder for the renewal of an order.
- 8.1.3.10 The CO will review the contract file for completeness and accuracy. Once the CO has determined the contract file to be complete, the CO will sign the order and return to the CS for distribution.
- 8.1.3.11 After receiving a copy of the packing slip/invoice from the PRI, or the appointed COR, the CS/CO will include in the official contract file.
- 8.1.3.12 After receiving a copy of the approved invoice from the Approving Official (AO)/COR, the CS/CO will file it in the official contract file.

8.2 Processing the Invoice

8.2.1 ORFSC:

- 8.2.1.1 The ORFSC receives the contractor's invoice. After the invoice is received, ORFSC reviews it. After acceptance of the invoice, it is entered into the Vendor Invoice Approval System (VIAS) for certification and payment.
- 8.2.1.2 ORFSC sends an email message to the AO and/or COR requesting approval for payment of the invoice(s).

8.2.2 AO/COR:

8.2.2.1 The AO/COR will review the data in the email for accuracy looking particularly at the order number and the amount of the invoice.

8.2.2.2 The AO/COR will approve the invoice for payment **only if the supplies, equipment or services was received and accepted, and the amount does not exceed the amount that has been obligated for that line item/or for the purchase total.**

8.2.2.3 The AO/COR will notify the CS/CO immediately if the amount of the invoice is greater than the amount on the order.

8.2.2.4 The AO/COR will approve the invoice by replying to Oak Ridge's email.

8.2.2.5 The AO/COR will forward a copy of the approved invoice response to the CS/CO by email for filing in the official contract file.

9.0 RECORDS MAINTENANCE

9.1 IP-540-07-F1, DOE Form 4200.33, "Procurement Request-Authorization"

9.2 IP-540-07-F2, Standard Form (SF) 3881, "ACH Vendor/Miscellaneous Payment Enrollment Form"

9.3 IP-540-07-F3, Option Form (OF) 347, "Order for Supplies or Services"

10.0 FORMS USED

10.1 Forms used will be the latest revision unless otherwise stated.

10.1.1 IP-540-07-F1, DOE Form 4200.33, "Procurement Request-Authorization"

10.1.2 IP-540-07-F2, Standard Form (SF) 3881, "ACH Vendor/Miscellaneous Payment Enrollment Form"

10.1.3 IP-540-07-F3, Optional Form (OF) 347, "Order for Supplies or Services"

11.0 ATTACHMENTS

- 11.1 Attachment A – IP-540-07-F1, DOE Form 4200.33, “Procurement Request-Authorization”
- 11.2 Attachment B – IP-540-07-F2, , Standard Form (SF) 3881, “ACH Vendor/Miscellaneous Payment Enrollment Form”
- 11.3 Attachment C – IP-540-07-F3, Optional Form (OF) 347, “Order for Supplies or Services”

EMCBC RECORD OF REVISION**DOCUMENT**

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

- I Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
- I Placing the words GENERAL REVISION at the beginning of the test.

Rev. No.	Description of Changes	Revision on Pages	Date
1	Original Issue	All	10/30/06